**525 Rec'd PCT/PTO 12 SEP 2000** 

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		DESIGNATED/ELEC	U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR			
		CONCERNING A FIL	n9/623946			
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	NTERNATIONAL APPLICATION NO. PCT/DE 99/02686 INTERNATIONAL FILING DATE AUGUST 27, 1999			OCTOBER 13, 1998		
		NVENTION				
APP	ARA	TUS AND METHOD FOR	R ENCODING AND DECODING	DATA		
		I(S) FOR DO/EO/US				
Jose:	LAU	UMEN, Wael ADI				
Appli	icant h	nerewith submits to the United	States Designated/Elected Office (DO/E	O/US) the following items and other information:		
1.	X	This is a FIRST submission	of items concerning a filing under 35 U.S	S.C. 371.		
2.			EQUENT submission of items concerning			
3.		This is an express request to be	begin national examination procedures (3)	35 U.S.C. 371(f)) at any time rather than delay U.S.C. 371(b) and PCT Articles 22 and 39(1).		
4.				be by the 19th month from the earliest claimed priority date.		
5.	×		application as filed (35 U.S.C. 371 (c) (2)			
٥.	£3	<del>-</del> -	vith (required only if not transmitted by the	•		
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6.		c.  is not required, as the application was filed in the United States Receiving Office (RO/US).  A translation of the International Application into English (35 U.S.C. 371(c)(2)).				
<b>.</b>		A copy of the International Search Report (PCT/ISA/210).				
		Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))				
		a.   are transmitted herewith (required only if not transmitted by the International Bureau).				
in par In		b. $\square$ have been transmitted by the International Bureau.				
)  }		c. $\Box$ have not been made; however, the time limit for making such amendments has NOT expired.				
l-A		d. $\square$ have not been made and will not be made.				
9.		A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).				
10.	×	An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).				
14.		A copy of the International Preliminary Examination Report (PCT/IPEA/409).				
#1. 12.	U	A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).				
It	ems 1	3 to 18 below concern docum	nent(s) or information included:			
13.		An Information Disclosure Statement under 37 CFR 1.97 and 1.98.				
14.				inpliance with 37 CFR 3.28 and 3.31 is included.		
15.		A FIRST preliminary amendment.				
		A SECOND or SUBSEQUENT preliminary amendment.				
16.	П	A substitute specification.				
17. 18.	×	A change of power of attorney and/or address letter.				
19.		Other items or information:	Certificate of Mailing by Express Mail			
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HUNTINGTON,	HUNTINGTON, NEW YORK 11743 MICHAEL J. STRIKER						
					NAME		
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09/623946 Rec'd PCT/PTO 03 NOV 2000

#### VERIFICATION OF TRANSLATION

I, DAVID CLAYBERG

948 15th St., Ste. 4 of Santa Monica, CA 90403-3134

declare that I am a certified translator well acquainted with both the German and English languages, and that the attached is an accurate translation, to the best of my knowledge and ability, of the German Patent Application PCT/DE 99/02686.

Date

Signature

David Clayberg

09/623946 Rec'd PCT/PTO 03 NOV 2000

Apparatus and Method for Encoding and Decoding Data

Prior Art

The invention is based on an apparatus and a method for encoding and decoding data according to the preamble to the independent claim. DE 30 32 468 has already disclosed encoding methods and apparatuses which use a so-called fire code. For a code of this kind, a generator polynomial in the form  $G(x) = P(x) (1 + x^c)$  is used, where P(x) is a so-called irreducible polynomial of the degree m. The use of such a fire code permits a simple recognition and correction of errors in the decoding.

Advantages of the Invention

The method and apparatus for encoding and decoding according to the invention can be used to change the redundancy of the code in a simple manner. A variable redundancy code (VRC) of this kind can be used in a particularly simple manner for the adaptation of data rates.

Further advantages and improvements of the invention ensue from the dependent claims. In the decoding, it is advantageous to concentrate on error recognition or error correction.

Drawings

The invention is shown in the drawings and will be explained in detail in the subsequent description.

- Fig. 1 is a general block circuit diagram of an encoding apparatus that operates in accordance with the fire code,
- Fig. 2 shows an encoding apparatus in the example of the polynomial  $P(x) = 1 + x + x^3$ ,
- Fig. 3 shows a partial apparatus from Figs. 1 and 2 for producing variable redundancy, and
- Fig. 4 shows a decoding apparatus.

## Description

The encoding apparatus according to the invention is schematically depicted in Fig. 1. The entire apparatus according to Fig. 1 is used for encoding in accordance with a fire code. The encoder has a first partial encoder 1000, which receives the data 20 and encodes it by means of an irreducible polynomial P (x). The data 20 were generated by means of a modulo 2 connection of the input 10 with the output of the partial decoder 3000.

The encoder has a second partial encoder 3000, which also receives the data 20 and encodes them in accordance with  $x^c \cdot P(x)$ . Between these two partial encoders, there is an apparatus 2000 for producing a variable redundancy. The data encoded in this manner are then read at the output 30. During the first k cycles, i.e. during the time in which

the k input bits are read by 10, the switch 4000 is disposed in the closed position shown. For the subsequent reading of the redundancy (r bits) at the output 30, the switch 4000 is opened for the duration of r cycles.

Consequently, the two partial encoders 1000 and 3000 and the apparatus 2000 produce a generator polynomial G (x) = P (x)  $(1 + x^c)$  for the encoding.

Fig. 2 shows an example for the encoder according to Fig. 1. By way of example, a polynomial P  $(x) = 1 + x + x^3$ is produced here. Polynomials generally have the form P (x)=  $1 + a_1 x + a_2 x^2 + ... + a_m x^m$ , where a can assume the value 0 or 1. In the current example P  $(x) = 1 + x + x^3$ , the partial encoder 1000 is comprised of three storage elements of a disk register which are disposed in sequence. The bits at the input 10 are first modulo 2 connected to the output of the partial encoder 3000. The data 20 thus obtained are moved in sequence through the storage elements 3. After the first storage element 3 and the third storage element 3, respective modulo 2 adders 4 are provided, which are embodied as XOR elements. Both modulo 2 adders 4 are likewise impinged on by the data 20. The output 1001 of this partial encoder is connected to the input of the subsequent partial apparatus 2000, which is depicted in detail in Fig. 3. The output 1002 of the partial apparatus 2000 is connected to the subsequent partial encoder 3000 which is embodied analogously to the partial encoder 1000.

Fig. 3 depicts the partial apparatus 2000 for producing variable redundancy. Fig. 3 depicts a disk register comprised of four memory elements 3 disposed in series (generally c-m, as shown in Fig. 1). A pick-up is disposed

after each of these memory elements and is connected to inputs of modulo 2 adders 4 via switches 51, 52, 53, 54. Both inputs of these modulo 2 adders 4 are connected to two of the switches 51, 52, 53, and 54. The output of the last modulo 2 adder 4 is connected to the input 1002 of the second partial encoding apparatus 3000. By means of the switches 51, 52, 53, 54, an arbitrary connection of the pick-up points between the individual storage places of the disk register can now be produced among the modulo 2 adders 4. By closing the switches 51, 52, 53, or 54, different generator polynomials of the entire encoder according to Figs. 1 and 2 can now be produced. Since the intent here is to produce a polynomial in the form 1 +  $x^c$   $\cdot$  P (x), only one of the switches 51, 52, 53, 54 is respectively closed (i.e. the connection is produced), whereas all of the other switches are open (i.e. the connection is broken). Closing the switch 51 in connection with the irreducible polynomial selected in Fig. 2, for example, produces a generator polynomial of the encoder in the form  $(1 + x^4) \cdot (1 + x + x^4)$  $\mathbf{x}^{3}$ ), closing the switch 52 produces a polynomial in the form  $(1 + x^5) \cdot (1 + x + x^3)$ , closing the switch 53 produces a polynomial in the form  $(1 + x^6) \cdot (1 + x + x^3)$ , and closing the switch 54 produces a polynomial in the form  $(1 + x^7)$  .  $(1 + x + x^3)$ . The apparatus shown is therefore in a position to provide the entire encoding with various multiple redundancies depending on the position of the switches 51, 52, 53, 54.

The apparatus shown in Figs. 1 to 3 is consequently in a position to use various multiple redundancies in the encoding of data. By actuating the switches, additional redundancy between one and four bits can be variably produced. An encoder of this kind can consequently be used

to variably establish the redundancy so the reference is also made below to a VRC (variable redundancy encoder). VRCs of this kind can advantageously be used to adapt the redundancy to a data channel. This is primarily of interest when only fixed values for the data rate are possible for the transmission channel, but the data rate of the source data varies. The transmission reliability can be increased in a particularly simple manner by adding additional redundancy bits.

The method and apparatus for encoding with variable redundancy as has been described in conjunction with Figs. 1 to 3 is particularly suitable when used in combination with a decoding apparatus or decoding method according to DE 30 32 468. Therefore in Fig. 4, the decoder according to Fig. 1of DE 30 32 468 is shown once again as an overview diagram in Fig. 4. The data are transmitted to an input 100 and are then evaluated in a number of registers 101, 102, 103, 104 in series. The registers 101 and 104 are conventional decoding apparatuses that are designed to decode in accordance with the polynomial P (x). The disk register 102 has b storage places and the disk register 103 has C-m-bstorage places. C stands for the power of the polynomial 1 + $\boldsymbol{x}^3$  and  $\boldsymbol{m}$  is the degree of the polynomial P  $(\boldsymbol{x}).$  Only values of c that are greater than the value of m have practical relevance for correcting codes. The number b is a selectable value which predetermines how many errors should be able to be corrected. In all cases, the number b is less than the minimum of the numbers m and (c+1)/2. The registers 102 and 103 are now embodied in such a way that disk registers of variable length can be produced by means of switches, as has already been described in conjunction with Fig. 3. Consequently, depending on the preset parameters, the length

of the register 102 and the length of the register 103 can be freely set. This measure consequently permits the decoding of the encoded data to be variably implemented. The value of C is set as a function of which value has been selected for C in the encoding. Furthermore, the user also has the option of deciding whether it is more important to correct data errors or to detect data errors. The values b and d are selected as a function of this.

As has already been described in DE 30 32 468, the data is supplied to the input 100 until the same the pattern is present in the registers 101 and 104. This is determined by the comparator 105. If in addition, only zeros are contained in the third register 103, then the desired error pattern is present in the second register 102. The requirement that all register places in the register 103 contain a zero is determined by the NOR element 106 and only then is an "error trapped" signal emitted at the output 107 if the AND element 108 receives a signal from both the NOR element 106 and the comparator 105. As has already been described in DE 30 32 468, the error pattern that is then contained in the register 102 is transformed via the encoding stage 109 into a vector with m bits end is multiplied in the multiplication stage 110 by the corresponding values of the register 104. The logic circuit 111 can then use the result of the multiplication stage 110, as has already been described in DE 30 32 468, to determine which bits are erroneous.

One example: a fire code is used as a VRC code, which has the capacity to correct bundle errors. Let this fire code be defined according to DE 30 32 468 as  $G(x) = (1 + x^c) \cdot P(x)$ , with e, e =  $2^m - 1$ , of the period of the irreducible polynomial P(x) of the grade m. The period of

the polynomial P (x), in connection with c, determines the length of the code selected, i.e. the length of a VRC-encoded data packet is maximally limited to  $n=k+r=KGV\{e,c\}$ , where  $KGV\{a,b\}$  represents the smallest common multiple of a and b.

Let the level of the redundancy incorporated by means of this fire code be r=c+m [bits]. The value c should then fulfill the condition  $c=2\cdot b-1$ , where b represents the length of a bundle error, which can still be corrected with the aid of this code and maximally can assume the value m (i.e. b=m). If this block code is then distributed over v data frames with the aid of an interleaver, then its correction capacity is improved by the factor v to v i.e. if a single burst error with a maximal length of v i.e. if a single burst error with a these v data frames are correctly reconstructed.

In order to always assure a meaningful maximal error detection, however, a compromise must be struck between error detection and error correction; typically small values are selected for b. Because with d, the length of a detectable error bundle of a data frame and with b, the length of the correctable bundle error, the following equation applies: d = c + 1 - b. That is, in the transmission of a data frame, if a single bundle error occurs in this frame, then the decoder can fully correct this bundle error provided that the length of the bundle error does not exceed the value of b [bits]. If the length of the bundle error exceeds the value of b, then it can in fact no longer be corrected; the decoding apparatus, however, still detects this bundle error - provided that the burst is not longer than the value of d. However, if a

bundle error occurs with a length of that is greater than d, then it is possible that the decoder may no longer be able to detect his error and may possibly correct it erroneously. That is, the decoder "believes" that it has correctly reconstructed the data frame although this data frame is still erroneous.

By means of an interleaver the functions with v data frames, the capacity of the decoder to detect bundle errors can also be improved by the factor v to  $d' = d \cdot v$ ; i.e. if a single, interrelated burst error with the maximal length  $d' = d \cdot v$  occurs in the v data frames, then this burst error is still detected by the code.

Fig. 4 shows an example for an implementation of a VRC code by means of fire code. First, the irreducible polynomial P (x) is selected. In this case, the following polynomial of the length m = 16 [bits] is selected: P (x) = 11000000100000011 = 1 + x + x 8 + x 15 + x 16, with m = 16, period e = 257 =  $2^8 + 1$ . This yields a maximal code length of KGV{e,c} =  $257 \cdot c$  [bits], depending on the setting for c. The value for c is produced directly from the known block length k of the data stream to be encoded and the likewise predetermined block length n of the VRC-encoded data on the physical channel. The equation n = k + r, the redundancy r = c + m, and the fixed value m = 16 yield the equation c = r - m = n - k - m.

The properties of the (bundle) error correction and the (bundle) error detection can now be matched to each other. Error correction can be selected between b=0 and  $b=\min\{m, (c+1) / 2\}$ , where the selection of b has a direct

influence on the detection capacities of the VRC code due to the equation d = c + 1 - b. A compromise is necessary.

Example: Let the values k=280, the length of a source data frame, n=320, the required number of bits per data frame after the VRC encoding, and m=16 be predetermined with P (x) as above.

The redundancy to be produced consequently yields r=n-k=320-280=40. With m=16, c then becomes c=24. The correction capacity of the code should be limited to b=3 [bits] in order to thus assure a relatively high error correction of d=c+1-b=24+1-3=22 [bits]. This means that a bundle error up to a length of 22 bits will not be erroneously corrected by the decoder, but will be detected as an error. In such an instance, either the decoding process will be interrupted by an error message or the decoded bit stream will be marked as erroneous. However, if a bundle error of at least 3 bits in length occurs in a data frame with a length n=320, then this bundle error can be completely corrected; the source bit stream is reconstructed in an error-free manner.

The implementation of this flexible code, whose properties can be dynamically adapted to the external conditions, does not require any special alterations in the architecture of the decoder according to Fig. 4 or according to DE 30 32 468. Changing the two parameters c and b merely results in the fact that the registers 102 and 103 of the decoder must be designed with a variable (logical) length. In addition, the extreme values of c and b determine the width of the NOR gate 106 and the encoding stage 109 shown in Fig. 4.

The example mentioned above considers a code with c=14. This means that the unabbreviated code length, i.e. the maximal permissible number of bits n in a valid code word, is nmax = (k + r)max =  $e \cdot c = KGV\{257, 24\} = 6168$  [bits]. However, the code was produced as an abbreviated code with n = 320. Abbreviated codes in general and very abbreviated codes in particular have the property that their error protection characteristics d' > d and b' > b are in part considerably better than the properties (d and b) of the unabbreviated mother code. A quantitative conclusion as to the improvement, however, can only be determined by experiment.

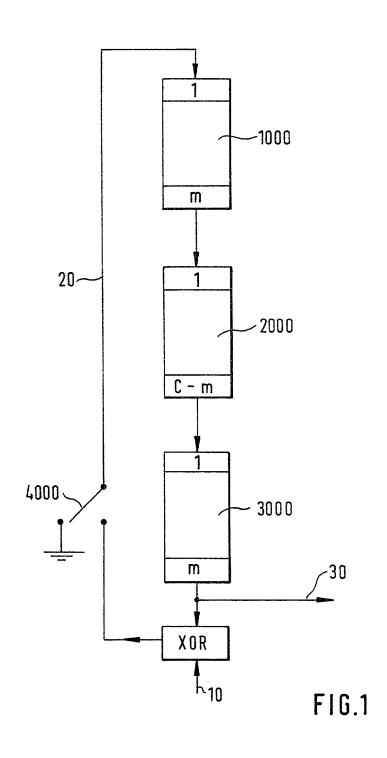
#### Claims

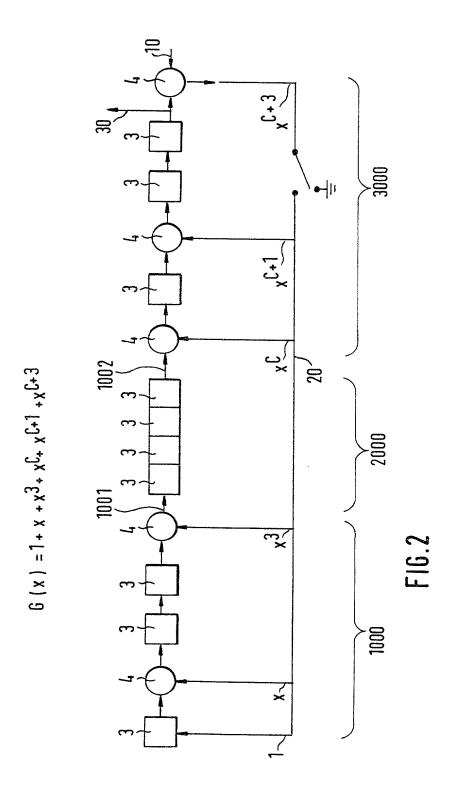
- 1. An apparatus for encoding data in accordance with a fire code G  $(x) = P(x) (1 + x^c)$ , where P (x) is an irreducible polynomial of the degree m, characterized in that the value for C can be freely set within predetermined limits.
- 2. The apparatus according to claim 1, characterized in that the upper limit for C is predetermined by a maximal value and that the encoding apparatus has storage elements (3) and modulo 2 adders (4) whose number corresponds to the maximal number, and that switches (51, 52, ... 53, 54) are provided, by means of which the storage places (3) and modulo 2 adders (4) can connected together into an encoder according to the selected value for C.
- 3. A decoder for decoding data in accordance with a fire code  $G(x) = P(x)(1 + x^c)$ , where P(x) is an irreducible polynomial of the degree m, characterized in that the value for C can be freely set within predetermined limits.
- 4. The decoder according to claim 3, characterized in that a disk register (103) is provided, wherein the length of the disk register (103) can be set as a function of the value for C.
- 5. The decoder according to claim 4, characterized in that a second disk register (102) is provided, whose length can be set to a value B, where in all cases, B is less than M and where B indicates the maximal number of correctable bit errors.

- 6. A method for encoding data in accordance with a fire code  $G(x) = P(x)(1 + x^c)$ , where P(x) is an irreducible polynomial of the degree m, characterized in that the value for C can be freely set within predetermined limits.
- 7. A method for decoding data in accordance with a fire code  $G(x) = P(x) (1 + x^c)$ , where P(x) is an irreducible polynomial of the degree m, characterized in that the value for C can be freely set within predetermined limits.
- 8. The method according to claim 7, characterized in that the values b and d (according to the specification) for the error correction and detection properties of the incorporated redundancy can be freely set within predetermined limits and in accordance with d = c + 1 b.
- 9. The method according to claim 8, characterized in that the values b and d (according to the specification) for the error correction and detection properties of the incorporated redundancy can be adapted to the respective quality of the transmission channel (e.g. bit error rate).

### Abstract

A method and apparatus for encoding or decoding data is proposed. A fire code is used for this with a polynomial  $G(x) = P(x) (1 + x^c)$ , wherein the value for C can be variably selected. In addition, the error correction and detection properties of the redundancy integrated into the decoding apparatus can be set independently of the encoding device. These properties depend solely on the number of redundancy bits used.





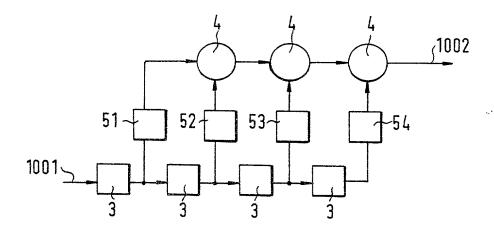
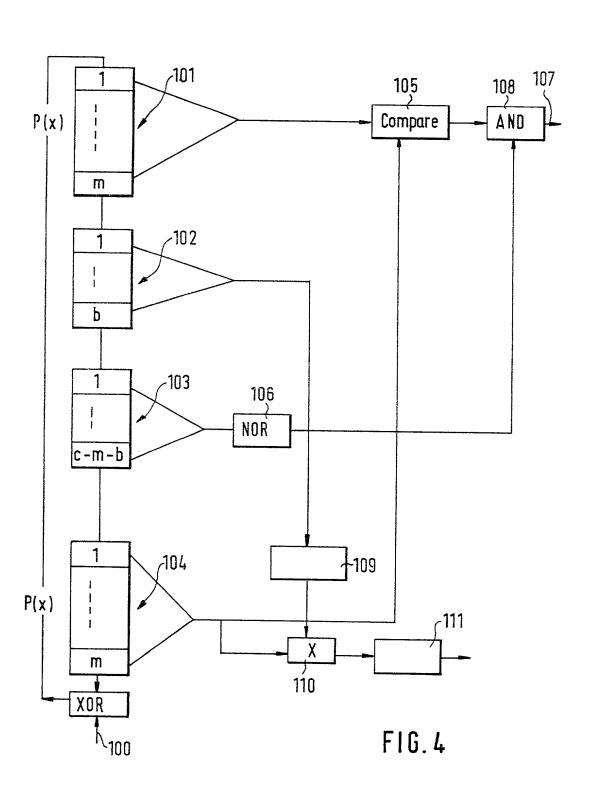


FIG.3



# DECLARATION AND POWER OF ATTORNEY FOR NATIONAL STAGE OF PCT PATENT APPLICATION

As a below-named inventor, I hereby declare that:

Josef LAUMEN Wael ADI

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **APPARATUS AND METHOD FOR ENCODING AND DECODING DATA** the specification of which was filed as PCT International Application number PCT/DE 99/02686 on August 27, 1999.

I hereby state that I believe the named inventor or inventors in this Declaration to be the original and first inventor or inventors of the subject matter which is claimed and for which a patent is sought.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose all information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Prior foreign application(s):

Priority claimed:

198 46 723.0	GERMANY	OCTOBER 13, 1998	X	No
(Number)	(Country)	(Date filed)	Yes	
(Number)	(Country)	(Date filed)	Yes	

As a named inventor, I hereby appoint the following attorney to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

Michael J. Striker, Reg. No. 27233

Direct all telephone calls to Striker, Striker & Stenby at telephone no.: (631) 549 4700 and address and all correspondence to:

STRIKER, STRIKER & STENBY 103 East Neck Road Huntington, New York 11743 U.S.A.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that wilful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such wilful false statement may jeopardize the validity of the application or any patent issued thereon.

A CONTRACTOR OF STREET			
Signature:  CAC MUME  Full Name of First or Sole Inventor:  Josef LAUMEN	Date:  2209.00  Citizenship: GERMAN	Residence and Full Postal Address: Hansering 56 31141 Hildesheim Germany	
Signature:  Yell Name of Second Inventor:  Wael ADI	Date: Sep1. 18. 2000 Citizenship: GERMAN	Residence and Full Postal Address: Im Grettelhagen 80 38106 Braunschweig Germany	
Signature:	Date:	Residence and Full Postal Address:	
Full Name of Third Inventor:	Citizenship:		
Signature:	Date:	Residence and Full Postal Address:	
Full Name of Fourth Inventor:	Citizenship:		
Signature:	Date:	Residence and Full Postal Address:	
Full Name of Fifth Inventor:	Citizenship:		
Signature:	Date:	Residence and Full Postal Address:	
Full Name of Sixth Inventor:	Citizenship:		
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Full Name of Seventh Inventor:	Citizenship:		
Signature:	Date:	Residence and Full Postal Address:	
Full Name of Eighth Inventor:	Citizenship:		
Signature:	Date:	Residence and Full Postal Address:	
Full Name of Ninth Inventor:	Citizenship:		